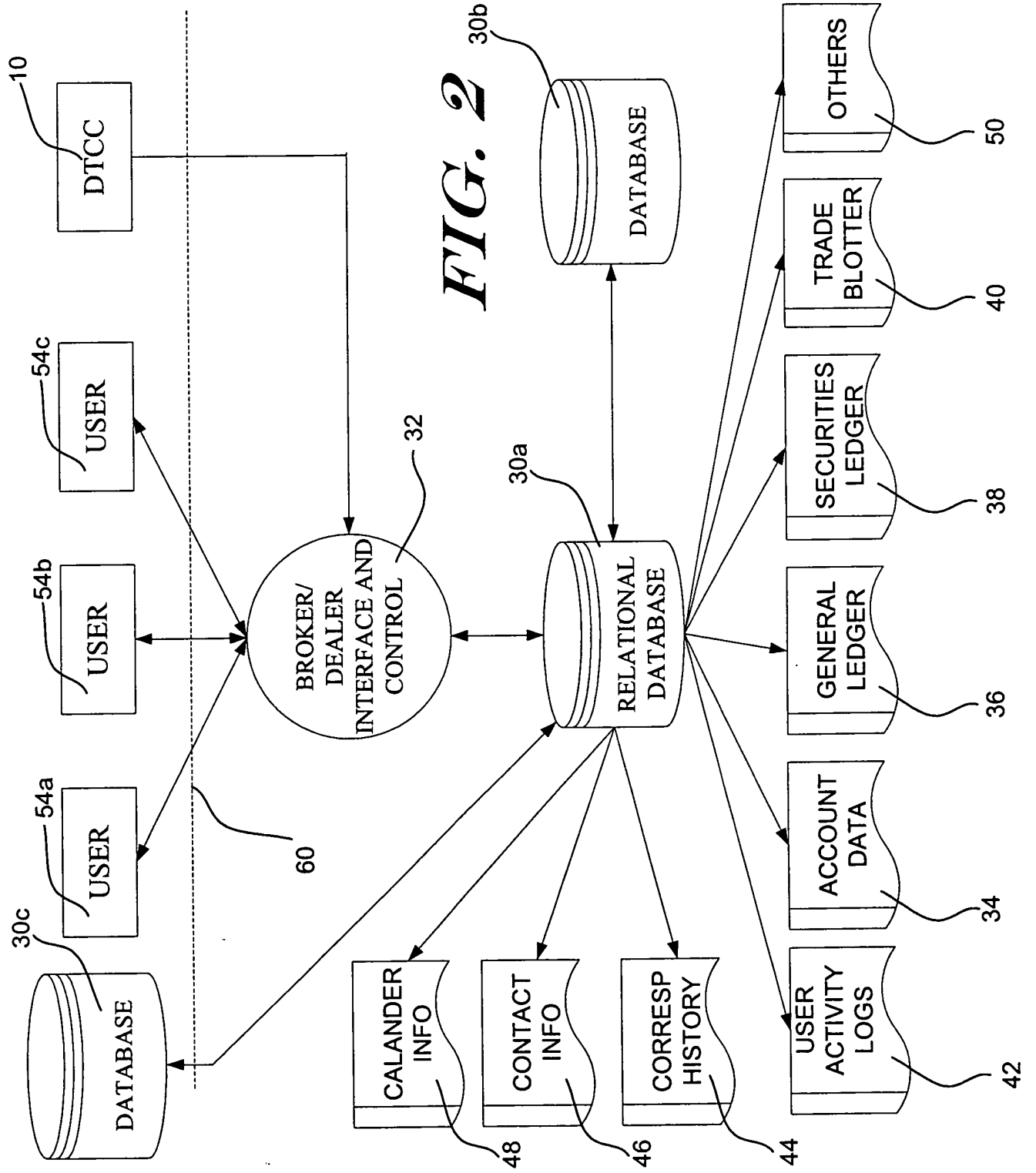


FIG. 1



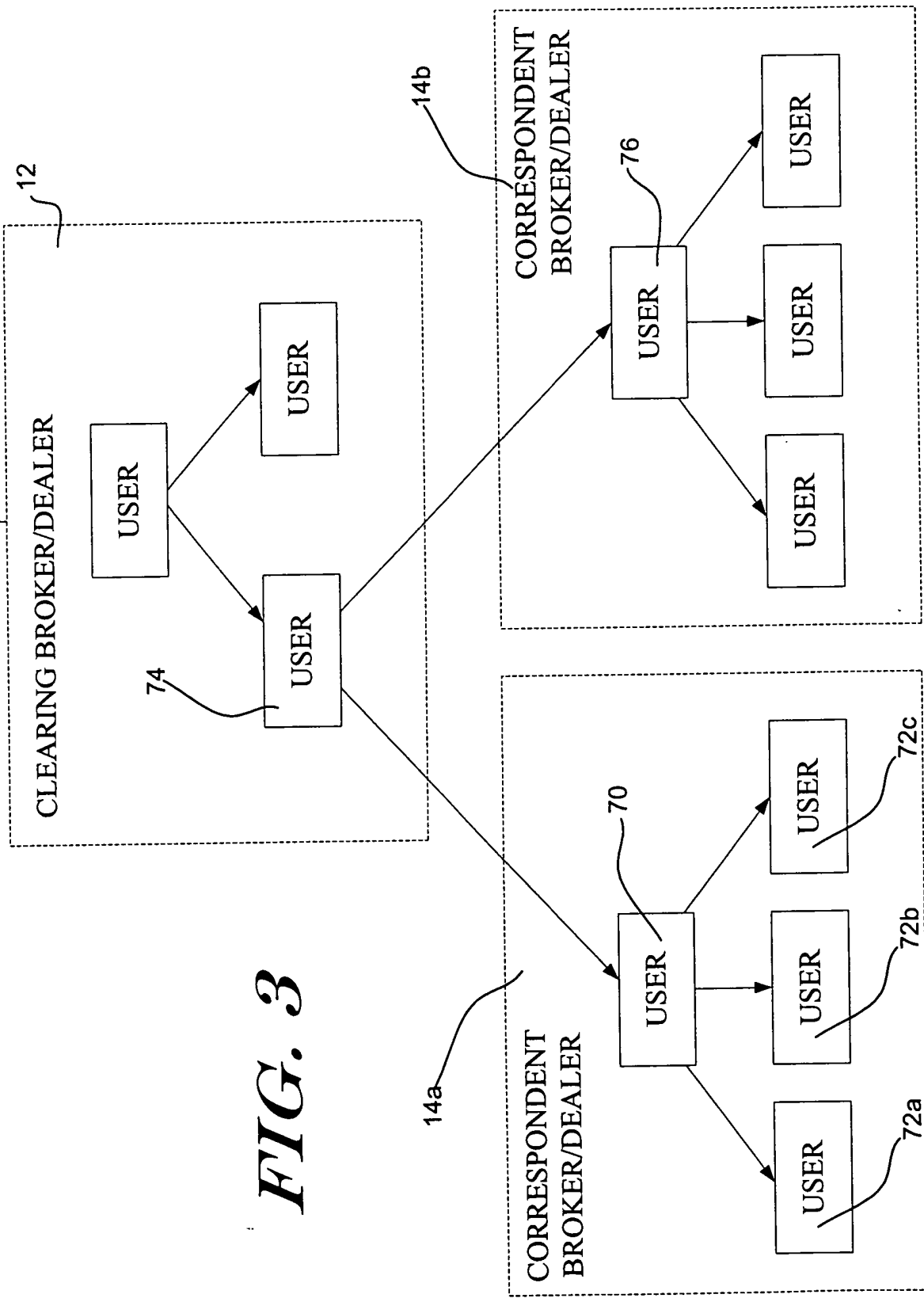


FIG. 3

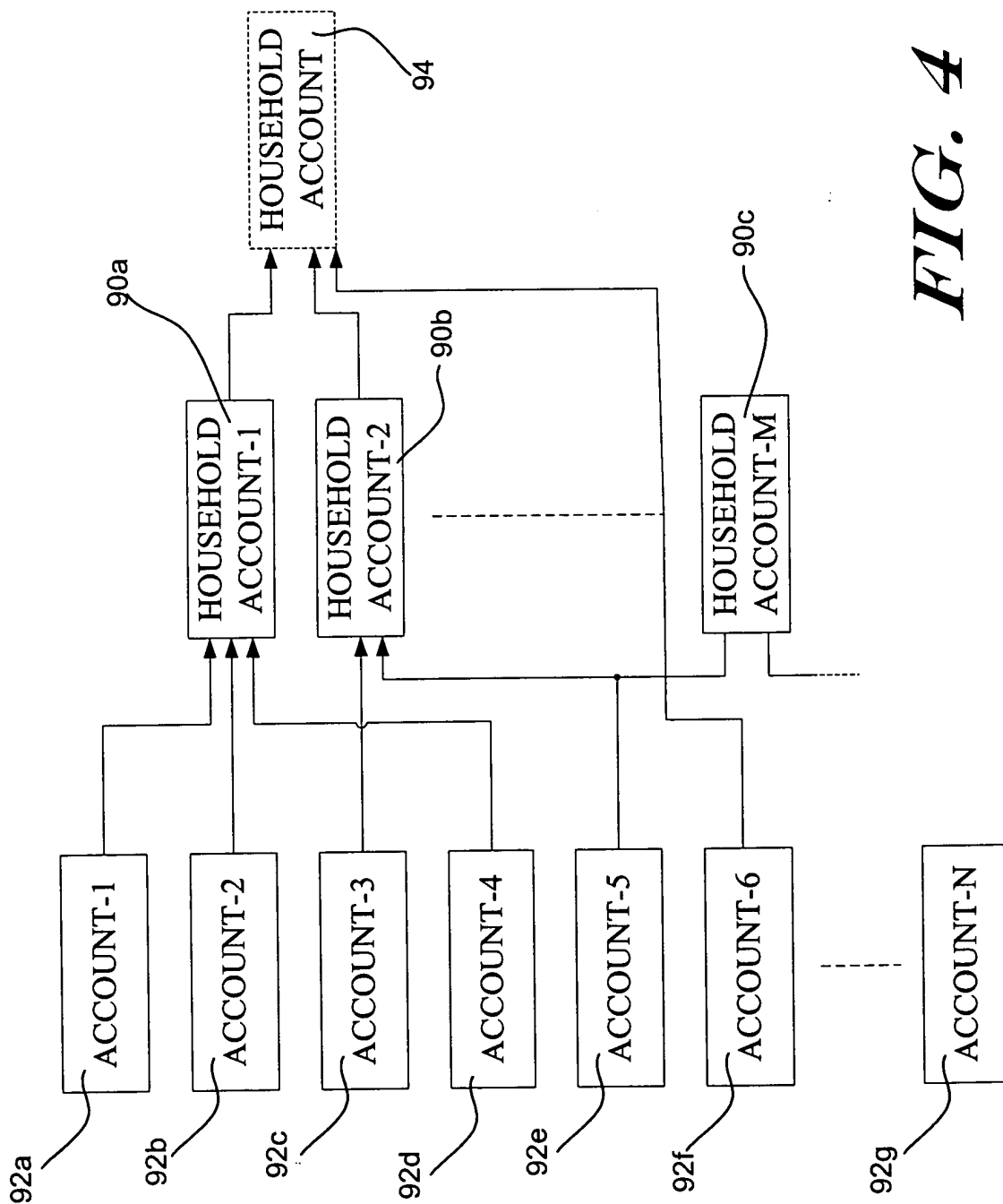


FIG. 4

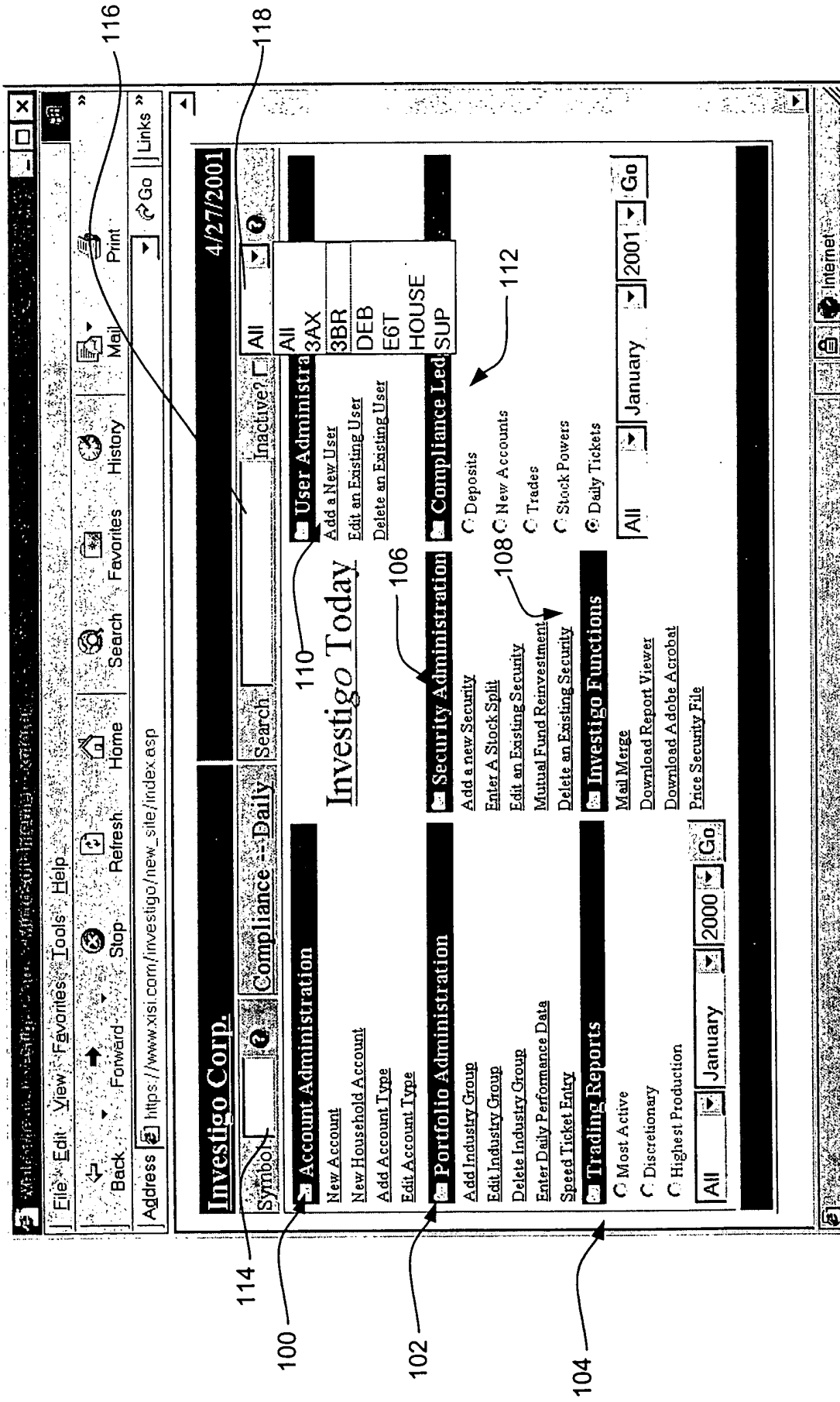


FIG. 5

Investigo Corp.		
<ul style="list-style-type: none"> • 10 Most active accounts for <u>All Reps</u> for the month ending 01/31/2000 		
<u>Account Number</u>	<u>Client Name</u>	<u>Account Type</u>
<u>W636020323</u>	Diane Glosson	Regular IRA
<u>W636019051</u>	Richard Schreiber	Regular IRA
<u>317-62-3670</u>	Stanley Gamble	401(k)
<u>308-70-8613</u>	Michael Saxman	401(k)
<u>385-82-2226</u>	Mark Reilly	401(k)
<u>305-60-3130</u>	Lee Humbert	401(k)
<u>312-82-2943</u>	Henry Gilbert	401(k)
<u>315-72-9043</u>	Kathy Lefever	401(k)
<u>60952972D</u>	Stanley D. Gamble	401(k)
<u>60952996D</u>	Mark L. Reilly	401(k)

FIG. 6

Investigo Corp.			
• 10 Most active accounts for Rep 3BR for the month ending 10/31/2000			
<u>Account Number</u>	<u>Client Name</u>	<u>Account Type</u>	<u>SSN</u>
<u>W636080590</u>	David A. Story	Regular IRA	303-52-5412
<u>FERG6</u>	Scott Fergusson	401(k)	304-96-1037
<u>W632319364</u>	Jeffrey L. Hinen	JTWROS	308-82-8501
<u>W632014437</u>	Mr. James E. Lauritsen	DVP	43-0497480
<u>606888910</u>	Carolyn E. Hein	403(b)	307-46-5353
<u>64747090</u>	Chelsey J. Coughlin	UGMA	313-13-3668
<u>64747091</u>	Bray J. Coughlin	UGMA	310-19-2016
<u>FER5</u>	Scott Fergusson	Regular IRA	304-96-1037
<u>W632297842</u>	Keith Edwards	JTWROS	315-52-2906
<u>W636019770</u>	Kim A. Lefever	Regular IRA	316-64-4482

FIG. 7

05917120-072701

Investigo Corp.						
• Check Deposit ledger for All for the Month ending 10/31/2000.						
<u>Date Received</u>	<u>Account Number</u>	<u>Account Name</u>	<u>Amount</u>	<u>Deposit Date</u>	<u>Payable To</u>	<u>Represent</u>
10/1/2000	C017254-0D	Keith D. Class	-900	10/1/2000	Keith D. Class	3AX
10/2/2000	64923193	Shawn D. Ferro	150	10/2/2000	fund	3BR
10/2/2000	W636019127	Shirley Clem	-540	10/2/2000	Shirley Clem	3AX
10/2/2000	W636019127	Shirley Clem	-60	10/2/2000	Shirley Clem	3AX
10/2/2000	65099328	MaryJo LaVine	510	10/2/2000	Capital Bank & Trust	3AX
10/2/2000	65018634	Kelly M. LaVine	-10	10/2/2000	Kelly M. LaVine	3AX
10/2/2000	64955885	Patricia A. Vilches	-10	10/2/2000	Patricia A. Vilches	3AX
10/2/2000	64955885	Patricia A. Vilches	2010	10/2/2000	Capital Bank & Trust	3AX
10/2/2000	65131336	Mariano R. Vilches	-10	10/2/2000	Mariano R. Vilches	3AX
10/2/2000	65131336	Mariano R. Vilches	2010	10/2/2000	Capital Bank & Trust	3AX
10/2/2000	W636019234	Coryll Miller	-500	10/2/2000	Coryll Miller	3AX
10/2/2000	W636019085	Ross Leakey	-520	10/2/2000	Ross Leakey	3AX
10/2/2000	64924065	Elizabeth E. Neuok	-300	10/2/2000	Elizabeth E. Neuok	3BR
10/2/2000	64923194	Heather A. Ferro	125	10/2/2000	fund	3BR
10/2/2000	W636019697	Gloria Weiler	-100	10/2/2000	Gloria Weiler	3AX
10/2/2000	W636020505	Dean Mansdorfer	-350	10/2/2000	Dean Mansdorfer	3AX
10/2/2000	W636020513	Nyla Mansdorfer	-350	10/2/2000	Nyla Mansdorfer	3AX
10/2/2000	W636020562	Frank Erwin	-600	10/2/2000	Frank Erwin	3AX
10/2/2000	W636058851	David B. Sensenich	-400	10/2/2000	David B. Sensenich	3AX
10/2/2000	W636081952	Gary S. Hall	-350	10/2/2000	Gary S. Hall	3AX
10/2/2000	W638026435	Dorothy M. Neuenschwander	-1500	10/2/2000	Dorothy M. Neuenschwander	3AX
10/2/2000	W638030924	Alfred E. Boyer	-223.7	10/2/2000	Alfred E. Boyer	3AX
10/2/2000	W636019622	Sophie Leakey	-200	10/2/2000	Sophie Leakey	3AX
10/2/2000	64831677	Doloris McCormick	-200	10/2/2000	Doloris McCormick	3AX
10/2/2000	W632293528	Ellen Jackson	-5000	10/2/2000	Ellen Jackson	3AX
9/30/2000	W632628913	William A. Oliver	1000.00	10/2/2000	Schroder & Co.	E6T
10/2/2000	W632669420	Robert W. Schnipke	200000	10/2/2000	Schroder & Co	3AX
10/2/2000	W632292801	Mazie Welbaum	-249.36	10/2/2000	Mazie Welbaum	3AX

FIG. 8

10/22/2000 10:27:46.60

Investigo Corp.									
Trade Buy Blotter for All for dates 10/1/2000 to 10/31/2000									
Trade Date	Settle Date	Buy / Sell	Account Number	Product	Shares	S/DMS	Buy Price	Buy Cost	Buy Commission
10/1/2000	10/4/2000	Buy	W632293452	C017254-0D	60327.84	Unsolicited	1	0	0
10/2/2000	10/5/2000	Buy	W632669420	ALAX	3603.604	Solicited	15.54	56000	0
10/2/2000	10/5/2000	Buy	W632669420	IGSX	1689.708	Solicited	13.02	22000	0
10/2/2000	10/5/2000	Buy	W632669420	RCVAX	1756.44	Solicited	17.08	30000	0
10/2/2000	10/5/2000	Buy	W632667689	LEIFX	0.194	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632665626	RCVAX	51.317	Solicited	16.58	0	0
10/2/2000	10/5/2000	Buy	W632658955	RCVBX	11.881	Solicited	16.61	0	0
10/2/2000	10/5/2000	Buy	W632588893	RCVGX	7.324	Solicited	16.57	0	0
10/2/2000	10/5/2000	Buy	W632641066	BETM	300	Solicited	0.4375	187.6	50
10/2/2000	10/5/2000	Buy	W632498077	LEIBX	0.135	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632467411	GOO	70	Solicited	88.5	6333.44	132.09
10/2/2000	10/5/2000	Buy	W632448502	RCVGX	16.242	Solicited	16.57	0	0
10/2/2000	10/5/2000	Buy	W635047672	RCVGX	47.063	Solicited	16.57	0	0
10/2/2000	10/5/2000	Buy	W632367389	RCVBX	21.917	Solicited	16.61	0	0
10/2/2000	10/5/2000	Buy	W632669420	OPFAX	485.784	Solicited	69.99	34000	0
10/2/2000	10/5/2000	Buy	W632356945	LEIFX	1.342	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632322475	RCVAX	40.796	Solicited	16.58	0	0
10/2/2000	10/5/2000	Buy	W632312686	AHITX	3.706	Solicited	12.97	0	0
10/2/2000	10/5/2000	Buy	W632306958	NABGX	13.93	Solicited	15.04	0	0
10/2/2000	10/5/2000	Buy	W632297412	LEIBX	0.292	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632297347	LEIBX	0.576	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632297107	KO	0.62	Solicited	54.937	34.22	0
10/2/2000	10/5/2000	Buy	W632296523	FDBBX	17.202	Solicited	18.79	0	0

FIG. 9

FOUO 02727650

<div> <div>File Edit View Favorites Tools Help</div> <div> <div>Back Forward Stop Refresh Home Search Favorites History Print Mail Go Links</div> <div>Address: https://www.xisi.com/investigo/daily/monthly_daily_orders.asp?Represent=All&Month=10/31&Year=2000</div> </div> </div>																																																																																																																																																																																																																											
Investigo Corp.																																																																																																																																																																																																																											
<div> <div>• Daily Trade Tickets for the Period 10/1/2000 to 10/31/2000 for All.</div> <table> <tr> <th>Trade Date</th><th>Settle Date</th><th>Buy/Sell</th><th>Account Number</th><th>Product</th><th>Shares</th><th>SUNS</th><th>Type</th><th>Price</th><th>Report</th></tr> <tr> <td>10/2/2000</td><td>10/5/2000</td><td>Buy</td><td>W632669420</td><td>45168H105</td><td>2001.8200</td><td>Solicited</td><td>Cash - 01</td><td>market</td><td>10.99 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/5/2000</td><td>Sell</td><td>W632319364</td><td>RHAT</td><td>500</td><td>Unsolicited</td><td>Cash - 01</td><td>mkt</td><td>17.1/16 3BR</td></tr> <tr> <td>10/2/2000</td><td>10/5/2000</td><td>Buy</td><td>W632467411</td><td>QQQ</td><td>70</td><td>Unsolicited</td><td>Cash - 01</td><td>88 1/2 g/c</td><td>88 1/2 3BR</td></tr> <tr> <td>10/2/2000</td><td>10/5/2000</td><td>Sell</td><td>W632319364</td><td>NOI2</td><td>600</td><td>Unsolicited</td><td>Cash - 01</td><td>mkt</td><td>7 1/16 3BR</td></tr> <tr> <td>10/2/2000</td><td>10/5/2000</td><td>Buy</td><td>W632541066</td><td>BETM</td><td>300</td><td>Unsolicited</td><td>Cash - 01</td><td>market</td><td>.4575 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/5/2000</td><td>Sell</td><td>W632319364</td><td>TRCR</td><td>800</td><td>Unsolicited</td><td>Cash - 01</td><td>3 11/16</td><td>3BR</td></tr> <tr> <td>10/2/2000</td><td>10/5/2000</td><td>Buy</td><td>W632669420</td><td>IALAX</td><td>3603.6040</td><td>Solicited</td><td>Cash - 01</td><td>market</td><td>15.54 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/5/2000</td><td>Buy</td><td>W632669420</td><td>45168C437</td><td>1689.7080</td><td>Solicited</td><td>Cash - 01</td><td>market</td><td>13.02 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/5/2000</td><td>Buy</td><td>W632669420</td><td>OIGAX</td><td>419.8150</td><td>Solicited</td><td>Cash - 01</td><td>0</td><td>23.82 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/5/2000</td><td>Buy</td><td>W632669420</td><td>OPMSX</td><td>1635.2200</td><td>Unsolicited</td><td>Cash - 01</td><td>market</td><td>15.90 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/6/2000</td><td>Buy</td><td>W636047672</td><td>ANWFX</td><td>2471.6500</td><td>Solicited</td><td>Cash - 01</td><td>market</td><td>29.63 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/6/2000</td><td>Buy</td><td>W636047672</td><td>AEPGX</td><td>1580.8760</td><td>Solicited</td><td>Cash - 01</td><td>market</td><td>39.48 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/6/2000</td><td>Sell</td><td>W636047672</td><td>IVINX</td><td>1707.1350</td><td>Solicited</td><td>Cash - 01</td><td>market</td><td>36.68 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/6/2000</td><td>Sell</td><td>W636047672</td><td>220714505</td><td>52745.70</td><td>Solicited</td><td>Cash - 01</td><td>1</td><td>1 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/6/2000</td><td>Buy</td><td>W632669420</td><td>RCVAX</td><td>1756.4400</td><td>Solicited</td><td>Cash - 01</td><td>market</td><td>17.08 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/6/2000</td><td>Buy</td><td>W632669420</td><td>OPPAX</td><td>485.7840</td><td>Solicited</td><td>Cash - 01</td><td>market</td><td>69.99 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/6/2000</td><td>Sell</td><td>W636047672</td><td>NEFDX</td><td>4282.7230</td><td>Solicited</td><td>Cash - 01</td><td>market</td><td>17.10 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/6/2000</td><td>Buy</td><td>W636020430</td><td>LU</td><td>100</td><td>Unsolicited</td><td>Cash - 01</td><td>30.25</td><td>GTC 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/6/2000</td><td>Sell</td><td>W632295424</td><td>LEH</td><td>1000</td><td>Unsolicited</td><td>Cash - 01</td><td>160</td><td>GTC 3AX</td></tr> <tr> <td>10/2/2000</td><td>10/7/2000</td><td>Sell</td><td>W636020430</td><td>EKINX</td><td>7884.9400</td><td>Solicited</td><td>Cash - 01</td><td>market</td><td>2.31 3AX</td></tr> </table> </div>										Trade Date	Settle Date	Buy/Sell	Account Number	Product	Shares	SUNS	Type	Price	Report	10/2/2000	10/5/2000	Buy	W632669420	45168H105	2001.8200	Solicited	Cash - 01	market	10.99 3AX	10/2/2000	10/5/2000	Sell	W632319364	RHAT	500	Unsolicited	Cash - 01	mkt	17.1/16 3BR	10/2/2000	10/5/2000	Buy	W632467411	QQQ	70	Unsolicited	Cash - 01	88 1/2 g/c	88 1/2 3BR	10/2/2000	10/5/2000	Sell	W632319364	NOI2	600	Unsolicited	Cash - 01	mkt	7 1/16 3BR	10/2/2000	10/5/2000	Buy	W632541066	BETM	300	Unsolicited	Cash - 01	market	.4575 3AX	10/2/2000	10/5/2000	Sell	W632319364	TRCR	800	Unsolicited	Cash - 01	3 11/16	3BR	10/2/2000	10/5/2000	Buy	W632669420	IALAX	3603.6040	Solicited	Cash - 01	market	15.54 3AX	10/2/2000	10/5/2000	Buy	W632669420	45168C437	1689.7080	Solicited	Cash - 01	market	13.02 3AX	10/2/2000	10/5/2000	Buy	W632669420	OIGAX	419.8150	Solicited	Cash - 01	0	23.82 3AX	10/2/2000	10/5/2000	Buy	W632669420	OPMSX	1635.2200	Unsolicited	Cash - 01	market	15.90 3AX	10/2/2000	10/6/2000	Buy	W636047672	ANWFX	2471.6500	Solicited	Cash - 01	market	29.63 3AX	10/2/2000	10/6/2000	Buy	W636047672	AEPGX	1580.8760	Solicited	Cash - 01	market	39.48 3AX	10/2/2000	10/6/2000	Sell	W636047672	IVINX	1707.1350	Solicited	Cash - 01	market	36.68 3AX	10/2/2000	10/6/2000	Sell	W636047672	220714505	52745.70	Solicited	Cash - 01	1	1 3AX	10/2/2000	10/6/2000	Buy	W632669420	RCVAX	1756.4400	Solicited	Cash - 01	market	17.08 3AX	10/2/2000	10/6/2000	Buy	W632669420	OPPAX	485.7840	Solicited	Cash - 01	market	69.99 3AX	10/2/2000	10/6/2000	Sell	W636047672	NEFDX	4282.7230	Solicited	Cash - 01	market	17.10 3AX	10/2/2000	10/6/2000	Buy	W636020430	LU	100	Unsolicited	Cash - 01	30.25	GTC 3AX	10/2/2000	10/6/2000	Sell	W632295424	LEH	1000	Unsolicited	Cash - 01	160	GTC 3AX	10/2/2000	10/7/2000	Sell	W636020430	EKINX	7884.9400	Solicited	Cash - 01	market	2.31 3AX
Trade Date	Settle Date	Buy/Sell	Account Number	Product	Shares	SUNS	Type	Price	Report																																																																																																																																																																																																																		
10/2/2000	10/5/2000	Buy	W632669420	45168H105	2001.8200	Solicited	Cash - 01	market	10.99 3AX																																																																																																																																																																																																																		
10/2/2000	10/5/2000	Sell	W632319364	RHAT	500	Unsolicited	Cash - 01	mkt	17.1/16 3BR																																																																																																																																																																																																																		
10/2/2000	10/5/2000	Buy	W632467411	QQQ	70	Unsolicited	Cash - 01	88 1/2 g/c	88 1/2 3BR																																																																																																																																																																																																																		
10/2/2000	10/5/2000	Sell	W632319364	NOI2	600	Unsolicited	Cash - 01	mkt	7 1/16 3BR																																																																																																																																																																																																																		
10/2/2000	10/5/2000	Buy	W632541066	BETM	300	Unsolicited	Cash - 01	market	.4575 3AX																																																																																																																																																																																																																		
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10/2/2000	10/5/2000	Buy	W632669420	IALAX	3603.6040	Solicited	Cash - 01	market	15.54 3AX																																																																																																																																																																																																																		
10/2/2000	10/5/2000	Buy	W632669420	45168C437	1689.7080	Solicited	Cash - 01	market	13.02 3AX																																																																																																																																																																																																																		
10/2/2000	10/5/2000	Buy	W632669420	OIGAX	419.8150	Solicited	Cash - 01	0	23.82 3AX																																																																																																																																																																																																																		
10/2/2000	10/5/2000	Buy	W632669420	OPMSX	1635.2200	Unsolicited	Cash - 01	market	15.90 3AX																																																																																																																																																																																																																		
10/2/2000	10/6/2000	Buy	W636047672	ANWFX	2471.6500	Solicited	Cash - 01	market	29.63 3AX																																																																																																																																																																																																																		
10/2/2000	10/6/2000	Buy	W636047672	AEPGX	1580.8760	Solicited	Cash - 01	market	39.48 3AX																																																																																																																																																																																																																		
10/2/2000	10/6/2000	Sell	W636047672	IVINX	1707.1350	Solicited	Cash - 01	market	36.68 3AX																																																																																																																																																																																																																		
10/2/2000	10/6/2000	Sell	W636047672	220714505	52745.70	Solicited	Cash - 01	1	1 3AX																																																																																																																																																																																																																		
10/2/2000	10/6/2000	Buy	W632669420	RCVAX	1756.4400	Solicited	Cash - 01	market	17.08 3AX																																																																																																																																																																																																																		
10/2/2000	10/6/2000	Buy	W632669420	OPPAX	485.7840	Solicited	Cash - 01	market	69.99 3AX																																																																																																																																																																																																																		
10/2/2000	10/6/2000	Sell	W636047672	NEFDX	4282.7230	Solicited	Cash - 01	market	17.10 3AX																																																																																																																																																																																																																		
10/2/2000	10/6/2000	Buy	W636020430	LU	100	Unsolicited	Cash - 01	30.25	GTC 3AX																																																																																																																																																																																																																		
10/2/2000	10/6/2000	Sell	W632295424	LEH	1000	Unsolicited	Cash - 01	160	GTC 3AX																																																																																																																																																																																																																		
10/2/2000	10/7/2000	Sell	W636020430	EKINX	7884.9400	Solicited	Cash - 01	market	2.31 3AX																																																																																																																																																																																																																		

FIG. 10

150

152

154

156

158

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Symbol: Go Compliance -- Daily Account Number or Name: Lookup

Mail Merge

Create a custom mail merge file by defining the characteristics of the accounts:

By Account Registration

Representative

Account Type

Report Frequency

State of Residence

By Investment Objective

<input type="checkbox"/> LT Capital Appreciation	<input type="text" value="Stocks"/>	<input type="text" value="Don't Search"/>
<input type="checkbox"/> Short Term Trading	<input type="text" value="Bonds"/>	<input type="text" value="Don't Search"/>
<input checked="" type="checkbox"/> Business Man's Risk	<input type="text" value="Options"/>	<input type="text" value="Don't Search"/>
<input type="checkbox"/> Income	<input type="text" value="Futures"/>	<input type="text" value="Don't Search"/>
<input type="checkbox"/> Safety of Principal		
<input type="checkbox"/> Tax Exempt Income		

By Personal Interests

☒ Golf ☐ Tennis

By Holdings

☒ Owns Mutual Funds ☐ Owns Long Term Care Policies

☐ Owns Life Insurance ☐ Owns Variable Annuities

Symbol

Done Internet

FIG. 11

FOI 200-02747660

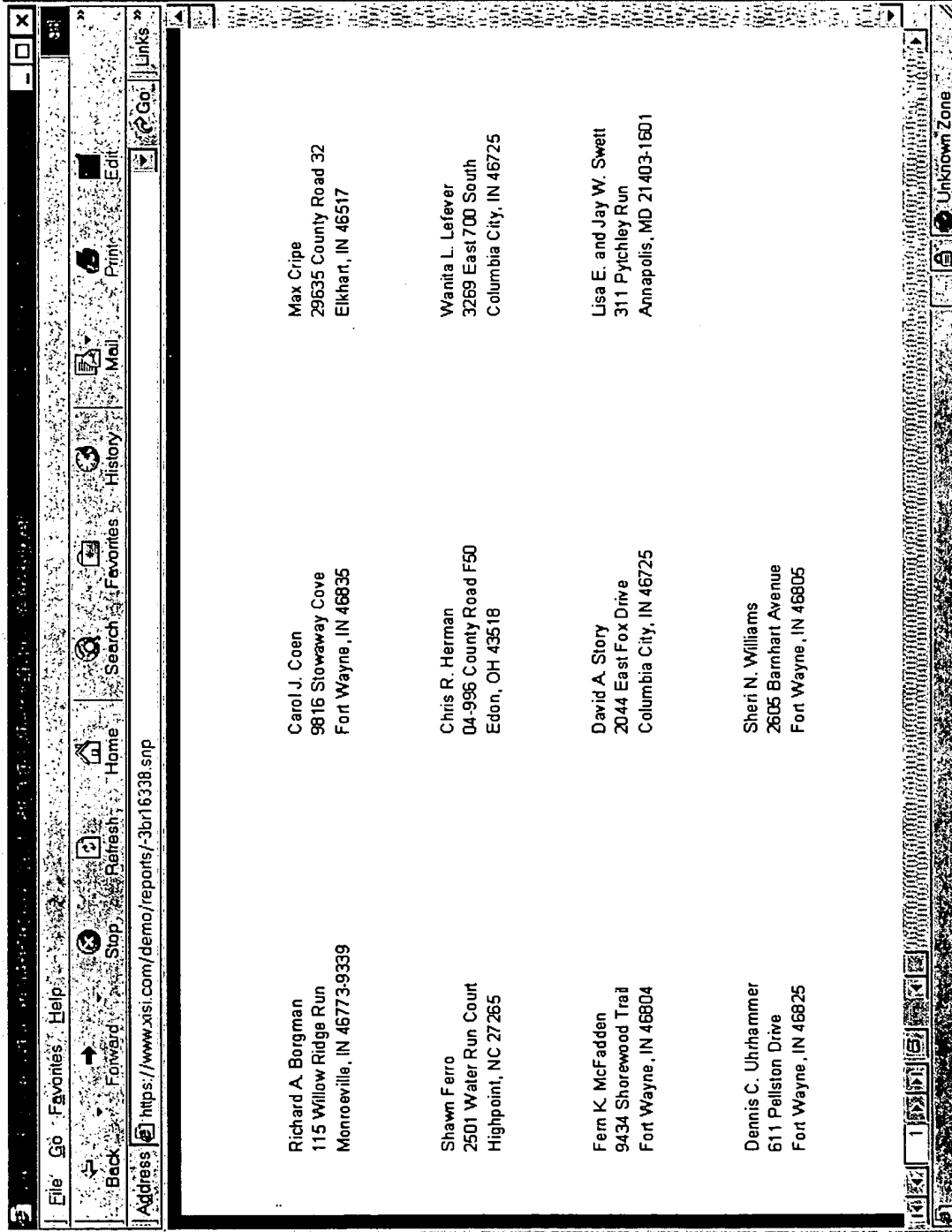


FIG. 12

FOI 200-02747650

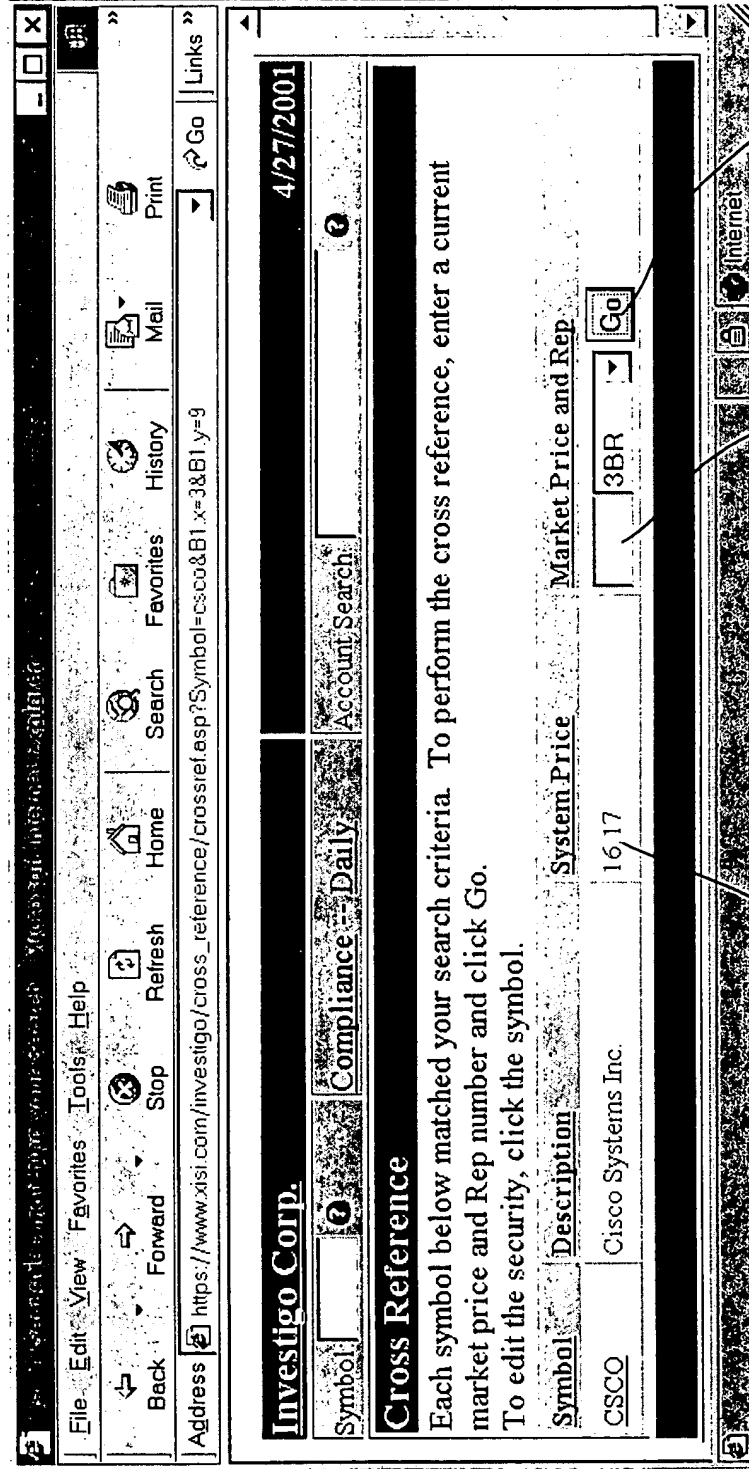


FIG. 13

09917120-072701

180

Investigo Corp. 4/27/2001

Symbol: Compliance: Daily Account Search:

Cross Reference for Cisco Systems Inc.

List of Open Positions for CSCO, Currently Trading at 16.17 for Representative (3BR). To go to a specific account click on the Account Number. To sell a specific position, click on the Shares.

Cisco Systems Inc.-- (CSCO) at 16.17

[Mail Merge](#)

Account Number	Last Name	Symbol	Shares	Open Date	Avg. Price	Total Cost	P/L	Contact #s
W632297834	Boval	CSCO	100	7/12/1999	33.8135	\$3,381.35	(\$1,764.35)	W:219-825-9457 H:219-825-5520
W632298345	Edwards	CSCO	195	3/24/2000	69.8983	\$13,630.16	(\$10,477.01)	W: H:219-635-2496
W636098170	Felber	CSCO	100	1/5/2000	50.6402	\$5,064.02	(\$3,447.02)	W: H:
W632297107	Kernen	CSCO	103	4/18/2000	68.1096	\$7,015.29	(\$5,349.78)	W:800-392-0844e272 H:770-967-4053
W632392841	Marques	CSCO	600	2/4/1999	29.6721	\$17,803.26	(\$8,101.26)	W:219-357-6557 H:219-357-5252
W632488060	Mason	CSCO	238	10/7/1999	47.0749	\$11,203.83	(\$7,355.37)	W:219-925-4939 H:219-837-6070
W632494886	McClain	CSCO	200	7/15/1999	33.3484	\$6,669.68	(\$3,435.68)	W:219-425-5792 H:219-497-0740
W632520656	Rienks	CSCO	110	7/21/1999	46.9139	\$5,161.08	(\$3,392.38)	W:270-251-1263 H:270-554-4701
W632645099	Silva	CSCO	20	3/23/2000	79.883	\$1,597.66	(\$1,274.26)	W:270-251-1109 H:270-554-5384

FIG. 14

091120-0224T660

204

200

202

Investigo Corp. 4/27/2001

Symbol: Compliance: Daily Account Search:

Friday, April 27, 2001

No appointments are on your Calendar for Today.

This week

22	23	24	25	26	27	28
----	----	----	----	----	----	----

This Month

April 2001

S	M	T	W	T	F	S
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30					

Add an Appointment

Start Date:

Start Time: 8:00 AM

Duration: 30 minutes

Title:

Notes:

Private? ☐

Add Appointment

Announcements

New! Uncover Variable Annuity sales in your own business immediately.

New! Choose to receive your monthly backup electronically and save \$50.

Clients to contact this Month

Shirley K. Bassett

Brian Call

Richard Cox

Brent Edwards

Robert Gibbeny

Kathy J. Lefever

Sheila M. Nave

Donna J. Sealscott

Casey Stafford

Thomas A. Bassett

Mary Client

Kathleen F. Cripe

Austin Fergusson

Sheila M. Gravely

William L. McClain

Susan Rineholt

Patrick Sievers

Kenneth Stocker

Birthdays this Month

Wanita L. Lefever 4/1/1933

Max Cripe 4/11/1946

Fern K. McFadden 4/7/1947

David A. Story 4/10/1947

Carol J. Coen 4/5/1948

Richard A. Borgman 4/23/1960

Sheri N. Williams 4/1/1961

Chris R. Herman 4/17/1961

Lisa E. and Jay W. Swett 4/14/1966

Dennis C. Uhrhammer 4/3/1970

Shawn Ferro 4/12/1972

Kent A. Christman 4/14/1983

TrueSync TECHNOLOGY PLATFORM

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FIG. 15

Investigo Corp. 4/27/2001

Symbol: [] Compliance Daily Account Search: []

Account Lookup

Each account listed below matched your search criteria. To go to the account, click on the Account Number. To Delete the Account, click the trash can icon after the Telephone Number(s).

Account Number	Rep	Primary Name	Account Type	Telephone(s)	Delete?
<u>000170016</u>	(3BR)	Hope Client	Variable Annuity	(w) - 219-555-1234 (h) - 219-555-1212	[trash]
<u>IDEMO2</u>	(3BR)	Joseph & Mary Client	JTWROS	(w) - 219-555-1234 (h) - 219-555-1212	[trash]
<u>IDEMO</u>	(3BR)	Joseph Client	IRA Rollover	(w) - 219-555-1234 (h) - 219-555-1212	[trash]
<u>DEMO-HH</u>	(3BR)	Joseph & Mary Client	[trash]	(w) - 219-555-1234 (h) - 219-55-1212	[trash]
<u>W632330122</u>	(3BR)	Mary Client	Single - Cash	(w) - 219-422-5686 (h) - 219-422-5686	[trash]

210

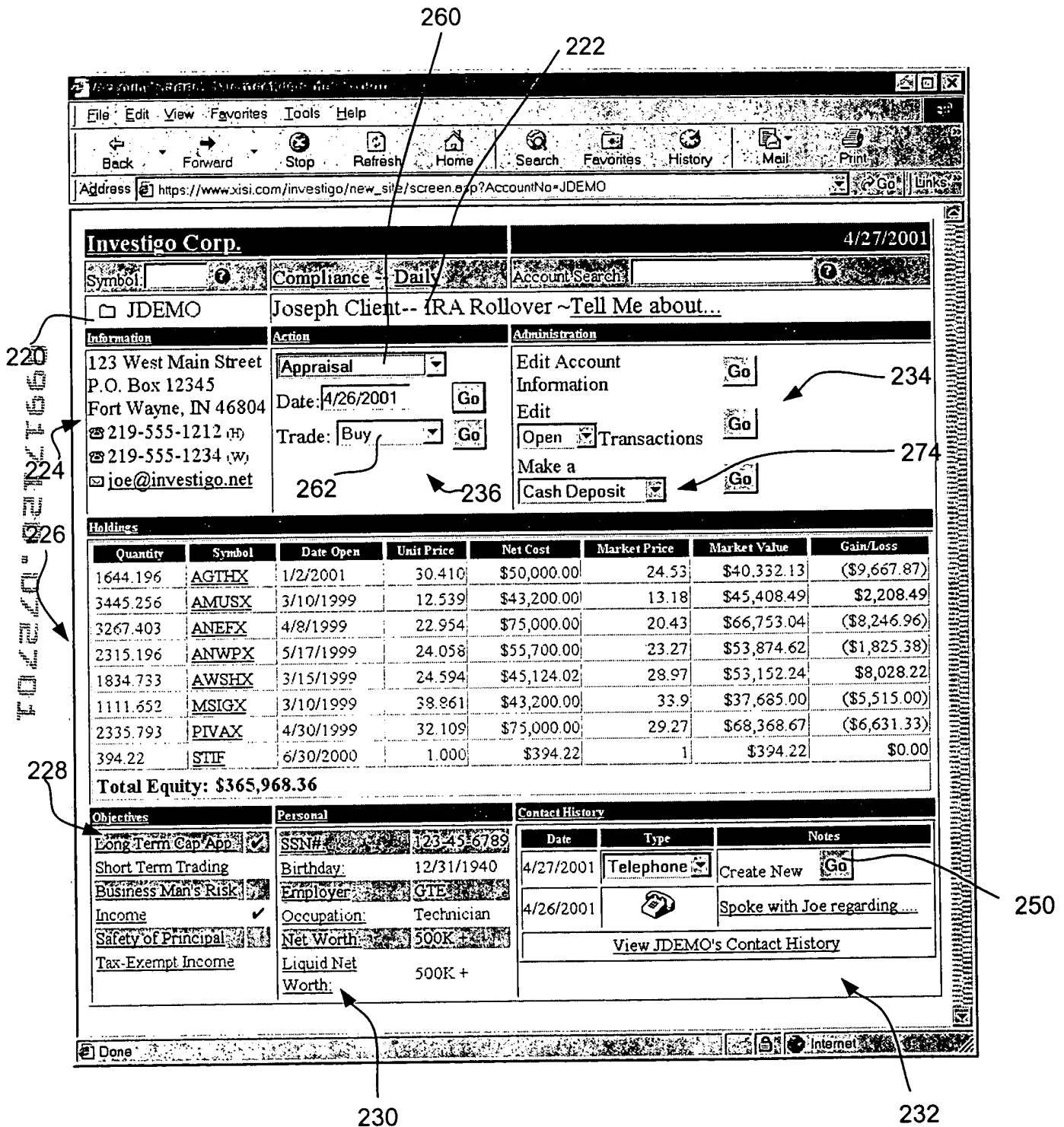


FIG. 17

260

Investigo Corp. 4/27/2001

Symbol: Compliance: Daily Account Search:

☐ JDEMO Joseph Client-- IRA Rollover ~Tell Me about...

Information	Action	Administration
123 West Main Street P.O. Box 12345 Fort Wayne, IN 46804 ☎ 219-555-1212 (H) ☎ 219-555-1234 (W) ✉ joe@investigo.net	<input type="button" value="Realized G/L"/> <input type="button" value="Appraisal"/> <input type="button" value="Appraisal Graph"/> <input type="button" value="Go"/> <input type="button" value="Asset Allocation"/> <input type="button" value="Go"/> <input type="button" value="Asset Alloc. Graph"/> <input type="button" value="Realized G/L"/> <input type="button" value="Performance"/>	<input type="button" value="Edit Account Information"/> <input type="button" value="Go"/> <input type="button" value="Edit"/> <input type="button" value="Go"/> <input type="button" value="Open Transactions"/> <input type="button" value="Go"/> <input type="button" value="Make a Cash Deposit"/> <input type="button" value="Go"/>

Quantity	Symbol	Date Open	Unit Price	Net Cost	Market Price	Market Value	Gain/Loss
1644.196	AGTHX	1/2/2001	30.410	\$50,000.00	24.53	\$40,332.13	(\$9,667.87)
3445.256	AMUSX	3/10/1999	12.539	\$43,200.00	13.18	\$45,408.49	\$2,208.49
3267.403	ANEFX	4/8/1999	22.954	\$75,000.00	20.43	\$66,753.04	(\$8,246.96)
2315.196	ANWPX	5/17/1999	24.058	\$55,700.00	23.27	\$53,874.62	(\$1,825.38)
1834.733	AWSHX	3/15/1999	24.594	\$45,124.02	28.97	\$53,152.24	\$8,028.22
1111.652	MSIGX	3/10/1999	38.861	\$43,200.00	33.9	\$37,685.00	(\$5,515.00)
2335.793	PIVAX	4/30/1999	32.109	\$75,000.00	29.27	\$68,368.67	(\$6,631.33)
394.22	STIF	6/30/2000	1.000	\$394.22	1	\$394.22	\$0.00

Total Equity: \$365,968.36

Objectives	Personal	Contact History									
<input checked="" type="checkbox"/> Long-Term Cap App. <input type="checkbox"/> Short Term Trading <input type="checkbox"/> Business Man's Risk <input checked="" type="checkbox"/> Income <input type="checkbox"/> Safety of Principal <input type="checkbox"/> Tax-Exempt Income	SSN# 123-45-6789 Birthday: 12/31/1940 Employer: GTE Occupation: Technician Net Worth: 500K + Liquid Net: 500K +	<table border="1"> <thead> <tr> <th>Date</th> <th>Type</th> <th>Notes</th> </tr> </thead> <tbody> <tr> <td>4/27/2001</td> <td>Telephone</td> <td>Create New <input type="button" value="Go"/></td> </tr> <tr> <td>4/26/2001</td> <td></td> <td>Spoke with Joe regarding</td> </tr> </tbody> </table> <p>View JDEMO's Contact History</p>	Date	Type	Notes	4/27/2001	Telephone	Create New <input type="button" value="Go"/>	4/26/2001		Spoke with Joe regarding
Date	Type	Notes									
4/27/2001	Telephone	Create New <input type="button" value="Go"/>									
4/26/2001		Spoke with Joe regarding									

Done Internet

FIG. 18

FOI 2003-027476-60

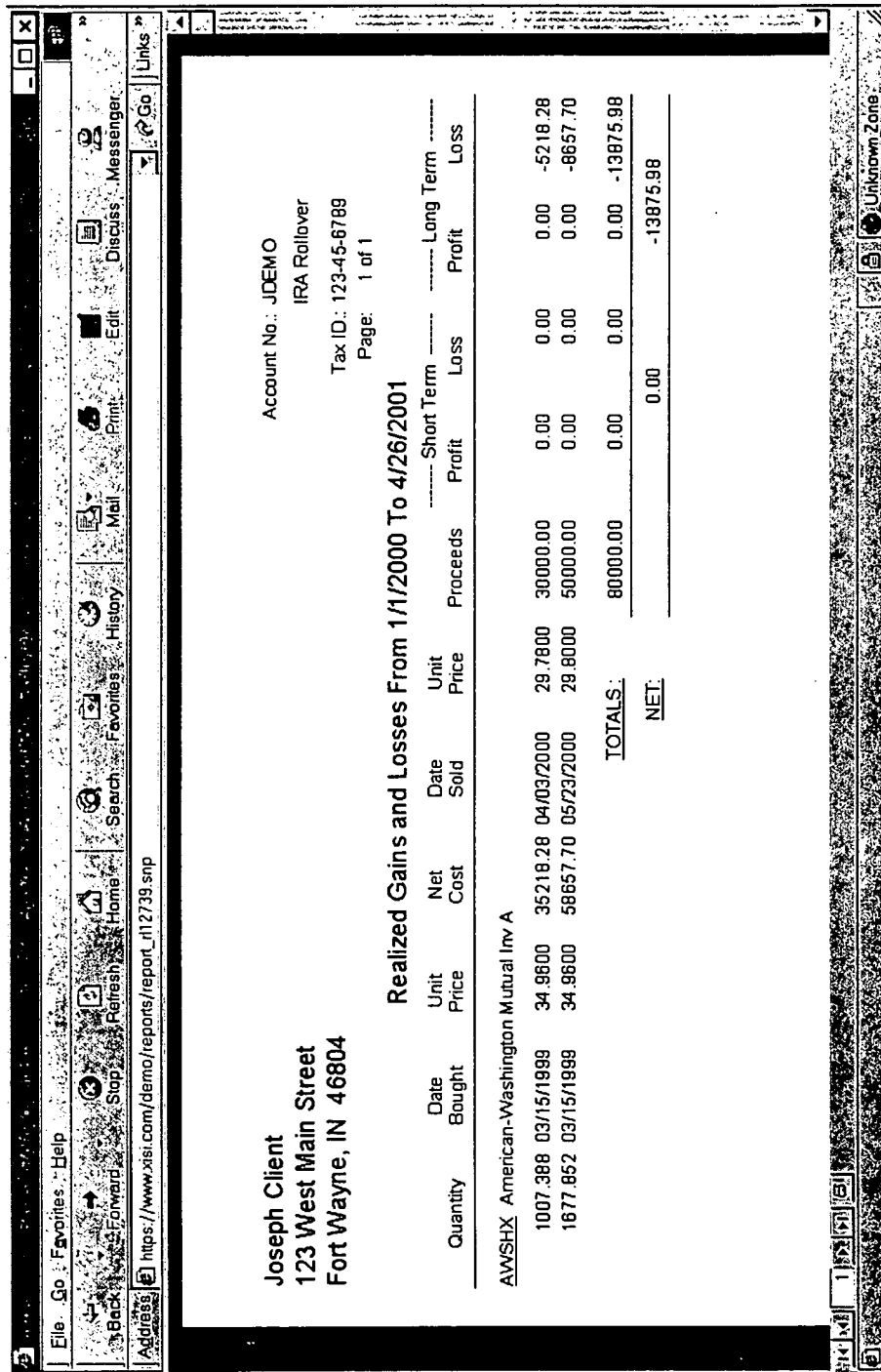


FIG. 19

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit Discuss

Address https://www.xisi.com/investigo/new_site/screen.asp?AccountNo=JDEMO

Investigo Corp.

Symbol:

Compliance Daily

4/27/2001

Joseph Client-- IRA Rollover ~Tell Me about...

Administration

Edit Account Information

Edit

Open Transactions

Make a Stock Deposit

Information

Appraisal

Date: 4/26/2001

Trade: Buy Buy Cover Sell

123 West Main Street

P.O. Box 12345

Fort Wayne, IN 46804

219-555-1212 (H)

219-555-1234 (W)

joe@investigo.net

Holdings

Quantity	Symbol	Date Open	Net Cost	Market Price	Market Value	Gain/Loss
1644.196	AGTHX	1/2/2001	\$50,000.00	24.53	\$40,332.13	(\$9,667.87)
3445.256	AMUSX	3/10/1999	\$43,200.00	13.18	\$45,408.49	\$2,208.49
3267.403	ANEFX	4/8/1999	\$75,000.00	20.43	\$66,753.04	(\$8,246.96)
2315.196	ANWPX	5/17/1999	\$55,700.00	23.27	\$53,874.62	(\$1,825.38)
1834.733	AWSHX	3/15/1999	\$45,124.02	28.97	\$53,152.24	\$8,028.22
1111.652	MSIGX	3/10/1999	\$43,200.00	33.9	\$37,685.00	(\$5,515.00)
2335.793	PIVAX	4/30/1999	\$75,000.00	29.27	\$68,363.67	(\$6,636.33)
394.22	STIF	6/30/2000	\$394.22	1	\$394.22	\$0.00

Total Equity: \$365,968.36

Objectives

Long Term Cap App

Short Term Trading

Business Mgmt

SSN#

123-456789

Birthdate

12/31/1940

Employer

GTE

Contact History

Date

4/27/2001

Type

Telephone

Notes

Create New

FIG. 20

Investigo Corp. 4/27/2001

Symbol: Compliance: Daily Account Number or Name:

Trade Entry

JDemo Joseph Client-- IRA Rollover

Trade Date	4/27/2001	Trade Type	Buy
Amount	1000	Symbol or CUSIP	ibm
Price	33.00	Solicitation Status	Solicited
Commission	600	Location of Shares	Long
Fees and/or charges	65.00	Reinvest	None or N/A
Sales charge	0	- For Mutual Funds	
Cost or Proceeds Override		- Overrides automatic calculation	
Order Entered By	3hr		

Notes

Recommended to client

Confirm This Trade

Address: <https://www.xis.com/investigo/posting/orderdesk.asp?Action=Buy&B1=Go&reportdate=4%2F27%2F2001> Go Links

Done Internet

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FIG. 21

268

Investigo Corp.		4/27/2001	
Symbol	Account Number or Name	Lookup	
Trade Entry			
JDEMO Joseph Client -- IRA Rollover			
Trade Date	4/27/2001	Trade Type	Buy
Amount	1000	Symbol or CUSIP	INTERNATIONAL BUSINESS MACHINES COR (IBM)
Price	33	Solicitation Status	Solicited
Commission	\$600.00	Location of Shares	Long
Fees and/or charges	\$65.00	Reinvest	None
Sales charge	0		
Total Fees	\$665.00		
Total Cost	\$33,665.00		
Order Entered By	3br		
Notes	Recommended to client		
Execute this Buy Order			

Investigo Corp. 4/27/2001

Symbol: Account Search:

Joseph Client-- IRA Rollover ~Tell Me about...

Information: 123 West Main Street
P.O. Box 12345
Fort Wayne, IN 46804
219-555-1212 (H)
219-555-1234 (W)
joe@investigo.net

Action: Appraisal Date: 4/26/2001 Trade: Buy Go

Compliance: Daily Go

Administration: Edit Account Information Go

Open Transactions Go

Make a Stock Deposit Go

Cash Deposit Withdrawal

Quantity	Symbol	Date Open	Unit Price	No	Market Value	Gain/Loss
1644.196	AGTHX	1/2/2001	30.410	\$5	\$40,332.13	(\$9,667.87)
3445.256	AMUSX	3/10/1999	12.539	\$43,200.00	\$45,408.49	\$2,208.49
3267.403	ANEFX	4/8/1999	22.954	\$75,000.00	\$66,753.04	(\$8,246.96)
2315.196	ANTWPX	5/17/1999	24.058	\$55,700.00	\$53,874.62	(\$1,825.38)
1834.733	AWSHX	3/15/1999	24.594	\$45,124.02	\$53,152.24	\$8,028.22
1111.652	MSIGX	3/10/1999	38.861	\$43,200.00	\$37,685.00	(\$5,515.00)
2335.793	PIVAX	4/30/1999	32.109	\$75,000.00	\$68,368.67	(\$6,631.33)
394.22	STIF	6/30/2000	1.000	\$394.22	\$394.22	\$0.00

Done

FIG. 23

FIG. 24

09917120-07661

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print

Address https://www.xsi.com/investigo/stock_power/stock_power_confirm.asp?account_no=JDEMO&e_date=4%2F27%2F Go Links

IRREVOCABLE STOCK OR BOND POWER

FOR VALUE RECEIVED, the undersigned does (do) hereby sell, assign, and transfer to

Joseph Client SSN#: 123-45-6789
123 West Main Street
Fort Wayne, IN 46804

If Stock, Complete This Portion

15 shares of the Common stock of INTERNATIONAL BUSINESS MACHINES COR (ibm)
(
(represented by Certificate(s) No(s) 12232293 inclusive,
(
(Standing in the name of the undersigned on the books of said Company.

If Bonds, Complete This Portion

(_____ bonds of _____
(
(in the principal amount of \$ _____ No(s) _____ inclusive,
(
(standing in the name of the undersigned on the books of said company.

The undersigned does (do) hereby irrevocably constitute and appoint
_____ attorney to transfer the said stock or bond(s), as the
case may be, on the books of said Company, with full power of
substitution in the premises.

Dated: 4/27/2001

IMPORTANT-READ CAREFULLY
The signatures(s) to this Power must correspond with the name(s) as written upon the face of the certificate(s) or bond(s) in every particular without alteration or enlargement or any change whatever. Signature guarantee should be made by a member or member organization of the New York

Joseph Client

SIGNATURE GUARANTEED

Done Internet

FIG. 25

FIG. 26




Investigo Corp.				4/27/2001
Correspondence History for JDEMO				
<u>Date</u>	<u>Type</u>	<u>Enterer</u>	<u>Notes</u>	
<u>4/26/2001</u>		Joe	Spoke with Joe regarding the account. He is satisfied so far. Check back next month.	
<u>4/11/2001</u>		Joe	Met with Joe and discussed his account. Check back in 3 months.	
<u>2/21/2001</u>		Joe	Sent him an appraisal and a realized g/l statement for	

FIG. 27

